**Table of Contents** i

# **Table of Contents**

## Alpha/Numeric Index to the Export Administration Regulations

## **Bureau of Industry and Security Contact Addresses**

### L

Legal Authority for the Export Administration Regulations		
Part	730	General Information
	730.1	What these regulations cover
	730.2	Statutory authority
	730.3	Dual use exports
	730.4	Other control agencies and departments
	730.5	Coverage of more than exports
	730.6	Control purposes
	730.7	License requirements and exceptions
	730.8	How to proceed and where to get help
	730.9	Organization of the Bureau of Industry and Security
	730.10	Advisory information
	Suppleme	ent No. 1 to Part 730; Information Collection Requirements Under the Paperwork Reduction Act: OMB
		Control Numbers
		ent No. 2 to Part 730; Technical Advisory Committees
	Suppleme	ent No. 3 to Part 730; Other U.S. Government Departments and Agencies with Export Control
		Responsibilities
Part	732	Steps For Using the EAR
	732.1	Steps overview
	732.2	Steps regarding scope of the EAR
	732.3	Steps regarding the ten general prohibitions
	732.4	Steps regarding License Exceptions
	732.5	Steps regarding Shipper's Export Declaration or Automated Export System Record, Destination
		Control Statements, and Recordkeeping
	732.6	Steps for other requirements
	Suppleme	ent No. 1 to Part 732; Decision Tree
	Suppleme	ent No. 2 to Part 732; Subject to the EAR?
	a 1	NY 0 D 400 DIGN //II NY 0 1 D 1 D 1 D 1 D 1

Part 734	Scope of the Export Administration Regulations
734.1	Introduction
734.2	Important EAR terms and principles
734.3	Items subject to the EAR
734.4	De minimis U.S. content
734.5	Activities of U.S. and foreign persons subject to the EAR
734.6	Assistance available from BIS for determining licensing and other requirements
734.7	Published information and software
734.8	Information resulting from fundamental research
734.9	Educational information
734.10	Patent applications
734.11	Government-sponsored research covered by contract controls
734.12	Effect on foreign laws and regulations

Supplement No. 3 to Part 732; BIS's "Know Your Customer" Guidance and Red Flags

Table of Contents ii

Supplement No. 2 to Part 734; Guidelines for *De Minimis* Rules

Part	736	General Prohibitions
	736.1	Introduction
	736.2	General prohibitions and determination of applicability
	Supplemen	nt No. 1 to Part 736; General Orders
	Supplemen	nt No. 2 to Part 736; Administrative Orders
Part	738	Commerce Control List Overview and the Country Chart
	738.1	Introduction
	738.2	Commerce Control List (CCL) structure
	738.3	Commerce Country Chart structure
	738.4	Determining whether a license is required
	Supplemen	nt No. 1 to Part 738; Commerce Country Chart
Part	740	License Exceptions
	740.1	Introduction
	740.2	Restrictions on all License Exceptions
	740.3	Shipments of limited value (LVS)
	740.4	Shipments to Country Group B countries (GBS)
	740.5	Civil end-users (CIV)
	740.6	Technology and software under restriction (TSR)
	740.7	Computers (APP)
	740.8	[RESERVED]
	740.9	Temporary imports, exports, and reexports (TMP)
	740.10	Servicing and replacement of parts and equipment (RPL)
	740.11	Governments, international organizations, and international inspections under the Chemical Weapons Convention (GOV)
	740.12	Gift parcels and humanitarian donations (GFT)
	740.13	Technology and software - unrestricted (TSU)
	740.14	Baggage (BAG)
	740.15	Aircraft and vessels (AVS)
	740.16	Additional permissive reexports (APR)
	740.17	Encryption commodities, software, and technology (ENC)
	740.18	Agricultural commodities (AGR)
	740.19	Consumer Communications Devices (CCD)
	740.20	License Exception Strategic Trade Authorization (STA).
		nt No. 1 to Section 740.11; Additional restrictions on use of License Exception GOV
		nt No. 1 to Part 740; Country Groups
	Supplemen	nt No. 2 to Part 740; Items that may be Donated to Meet Basic Human Needs Under the Humanitarian License Exception
	Supplemen	nt No. 3 to Part 740; License Exception ENC Favorable Treatment Countries
Part	742	Control Policy - CCL Based Controls
	742.1	Introduction
	742.2	Proliferation of chemical and biological weapons
	742.3	Nuclear nonproliferation
	742.4	National security
	742.5	Missile technology
	742.6	Regional stability
	742.7	Crime control

Table of Contents iii

	742.8	Anti-Terrorism: Iran
	742.9	Anti-Terrorism: Syria
	742.10	Anti-Terrorism: Sudan
	742.11	Specially designed implements of torture, thumbscrews, and thumbcuffs; and parts and
		accessories, n.e.s.
	742.12	[RESERVED]
	742.13	Communications intercepting devices
	742.14	Significant items: Hot section technology for the development, production or overhaul of
		commercial aircraft engines, components, and systems
	742.15	Encryption items
	742.16	[RESERVED]
	742.17	Exports of firearms to OAS member countries
	742.18	Chemical Weapons Convention (CWC or Convention)
	742.19	Anti-terrorism: North Korea
		at No. 1 to Part 742; Nonproliferation of Chemical and Biological Weapons
		at No. 2 to Part 742; Anti-terrorism Controls: North Korea, Syria and Sudan Contract Sanctity Dates and Related Policies
	Supplemen	at No. 3 to Part 742; [RESERVED]
	Supplemen	at No. 4 to Part 742; [RESERVED]
		at No. 5 to Part 742; Encryption Registration
	Supplemen	nt No. 6 to Part 742; Technical Questionnaire for Encryption Items
	Supplemen	at No. 7 to Part 742; Description of Major Weapons Systems
	Supplemen	at No. 8 to Part 742; Self-classification Report for Encryption Items
Part	743	Special Reporting
	743.1	Wassenaar Arrangement
	743.2	High performance computers: post shipment verification reporting
	743.3	Thermal imaging camera reporting
	Supplemen	at No. 1 to Part 743; Wassenaar Arrangement Participating States
Part	744	Control Policy: End-user and End-use Based
	744.1	General provisions
	744.2	Restrictions on certain nuclear end-uses
	744.3	Restrictions on certain rocket systems (including ballistic missile systems and space launch
		vehicles and sounding rockets) and unmanned air vehicles (including cruise missile systems,
		target drones and reconnaissance drones) end-uses
	744.4	Restrictions on certain chemical and biological weapons end-uses
	744.5	Restrictions on certain maritime nuclear propulsion end-uses
	744.6	Restrictions on certain activities of U.S. persons
	744.7	Restrictions on certain exports to and for the use of certain foreign vessels or aircraft
	744.8	Restrictions on exports and reexports to persons designated pursuant to Executive Order 13382 –
		Blocking Property of Weapons of Mass Destruction Proliferators and Their Supporters
	744.9	Restrictions on certain exports and reexports of cameras controlled by ECCN 6A003.b.4.b.
	744.10	Restrictions on certain entities in Russia
	744.11	License requirements that apply to entities acting contrary to national security or foreign policy
		interests of the United States
	744.12	Restrictions on exports and reexports to persons designated in or pursuant to Executive Order
		13224 (Specially Designated Global Terrorist) (SDGT)
	744.13	Restrictions on exports and reexports to persons designated pursuant to Executive Order 12947
		(Specially Designated Terrorists) (SDT)
	744.14	Restrictions on exports and reexports to designated Foreign Terrorist Organizations (FTOs)
	,	

Table of Contents iv

	744.15	[RESERVED]
	744.16	Procedures for requesting removal or modification of an Entity List Entity
	744.17	Restrictions on certain exports and reexports of general purpose microprocessors for 'military end-uses' and to 'military end-users'
	744.18	Restrictions on exports, reexports, and transfers to persons designated in or pursuant to Executive Order 13315
	744.19	Licensing policy regarding persons sanctioned pursuant to specified statutes
	744.20	License requirements that apply to certain sanctioned entities
	744.21	Restrictions on certain military end-uses in the People's Republic of China (PRC).
	744.22	Restrictions on exports, reexports and transfers to persons whose property
		and interests in property are blocked pursuant to Executive Orders
		13310, 13448 or 13464
	Suppleme	ent No. 1 to Part 744; Military End-use Examples for §744.17
	Suppleme	ent No. 2 to Part 744; List of Items Subject to the Military End-use License Requirement of §744.21
	Suppleme	ent No. 3 to Part 744; Countries Not Subject to Certain Nuclear End-use Restrictions in §744.2(a)
		ent No. 4 to Part 744; Entity List
	Suppleme	ent No. 5 to Part 744; Procedures for End-User Review Committee Entity List Decisions
Part	745	Chemical Weapons Convention Requirements
	745.1	Advance notification and annual report of all exports of Schedule 1 chemicals to other States
	745.0	Parties  Fig. 1. Vis.
	745.2	End-Use Certificate reporting requirements under the Chemical Weapons Convention
		ent No. 1 to Part 745; Schedules of Chemicals
		ent No. 2 to Part 745; States Parties to the Convention on the Prohibition of the Development, Production, Stockpiling, and Use of Chemical Weapons and on Their Destruction
	Suppleme	ent No. 3 to Part 745; Foreign Authorized Agencies Responsible for Issuing End-Use Certificates Pursuant to §745.2
Part	746	Embargoes and Other Special Controls
	746.1	Introduction
	746.2	Cuba
	746.3	Iraq
	746.4	North Korea
	746.5	[RESERVED]
	746.6	[RESERVED]
	746.7	Iran
	746.8	Rwanda
	746.9	Syria
		ent No. 1 to Part 746; Examples of luxury goods
		ent No. 2 to Part 746; [RESERVED]
	Suppleme	ent No. 3 to Part 746; [RESERVED]
Part	747	Special Iraq Reconstruction License
	747.1	Scope
	747.2	Eligibility requirements
	747.3	Eligible Items
	747.4	Steps you must follow to apply for a SIRL
	747.5	SIRL application review process
Part		Applications (Classification, Advisory, and License) and Documentation
	748.1	General provisions

Table of Contents v

	748.2	Obtaining forms; mailing addresses
	748.3	Classification Requests, Advisory Opinions, and Encryption Registrations
	748.4	Basic guidance related to applying for a license
	748.5	Parties to the transaction
	748.6	General instructions for license applications
	748.7	Registering for electronic submission of license applications and related documents
	748.8	Unique license application and submission requirements
	748.9	Support documents for license applications
	748.10	Import Certificates and End-user Statements
	748.11	Statement by Ultimate Consignee and Purchaser
	748.12	Special provisions for support documents
	748.13	Delivery Verification (DV)
	748.14	Import Certificate for firearms destined for Organization of American States member countries
	748.15	Authorization Validated End-user (VEU)
		No. 1 to Part 748; BIS-748P; BIS-748P-A: Item Appendix, and BIS-748P-B: End-User Appendix; Multipurpose Application Instructions
	Supplement	No. 2 to Part 748; Unique Application and Submission Requirements
		No. 3 to Part 748; BIS-711, Statement by Ultimate Consignee and Purchaser Instructions
	Supplement	No. 4 to Part 748; Authorities Administering Import Certificate/ Delivery Verification (IC/DV) and
	G 1 .	End-User Statement Systems in Foreign Countries
		No. 5 to Part 748; U.S. Import Certificate and Delivery Verification Procedure
		No. 6 to Part 748; Authorities issuing Import Certificates under the Firearms Convention [RESERVED]
	Supplement	No. 7 to Part 748; Authorization Validated End-user (VEU): List of Validated End-Users,
		Respective Eligible Items for export, reexport and transfer, and Eligible
		Destinations
	Supplement	No. 8 to Part 748; Information Required in Requests for Validated End-User (VEU) Authorization
	Supplement	No. 9 to Part 748; End-User Review Committee Procedures
Da4	750	Amplication Ducassing Terrance and/on David
Part		Application Processing, Issuance, and/or Denial
	750.1	Scope  Reserve in a Classification Reserved Addition Coloring
	750.2	Processing of Classification Requests and Advisory Opinions
	750.3	Review of license applications by BIS and other government agencies and departments
	750.4	Procedures for processing license applications
	750.5	[RESERVED]
	750.6	Denial of license applications
	750.7	Issuance of licenses
	750.8	Revocation or suspension of licenses
	750.9	Duplicate licenses
	750.10	Transfer of licenses for exports
	750.11	Shipping tolerances
Part	752	Special Comprehensive License
ıaıı	752.1	Scope Scope
	752.1	Eligible activities
	752.3	Eligible items
	752.4 752.5	Eligible countries  Stone way must fallow to apply for an SCI
	752.5	Steps you must follow to apply for an SCL
	752.6	Reexports
	752.7	Direct shipment to customers
	752.8	SCL application review process

Table of Contents vi

Part	<b>760</b> 760.1	Restrictive Trade Practices or Boycotts Definitions
	758.9	Other applicable laws and regulations
	758.8	Return or unloading of cargo at direction of BIS, the Office of Export Enforcement or Customs Service
	7.50.0	offices and Postmasters in clearing shipments
	758.7	Authority of the Office of Export Enforcement, the Bureau of Industry and Security, Customs
	758.6	Destination control statement
	758.5	Conformity of documents and unloading of items
	758.4	Use of export license
	758.3	Responsibilities of parties to the transaction
	758.2	Automated Export System (AES)
	758.1	The Shipper's Export Declaration (SED) or Automated Export System (AES) record
Part	758	Export Clearance Requirements
	756.2	Appeal from an administrative action
	756.1	Introduction
Part	756	Appeals
		ent No. 3 to Part 754; Statutory Provisions Dealing with Exports of Crude Oil
		ent No. 2 to Part 754; Unprocessed Western Red Cedar
	Supplem	ent No. 1 to Part 754; Petroleum and Petroleum Products
	754.7	Petitions for the imposition of monitoring or controls on recyclable metallic materials; Public hearings
	7547	export
	754.6	Registration of U.S. agricultural commodities for exemption from short supply limitations on
	754.5	Horses for export by sea
	754.4	Unprocessed western red cedar
	754.3	Petroleum products not including crude oil
	754.2	Crude oil
	754.1	Introduction
Par	t754	Short Supply Controls
	Supplem	ent No. 5 to Part 752; Instructions for Completing Form BIS-748P-B, "End-User Appendix"
		ent No. 4 to Part 752; Instructions for Completing Form BIS-752-A, "Reexport Territories"
	11	of Special Comprehensive License"
		ent No. 3 to Part 752; Instructions for Completing Form BIS-752, "Statement by Consignee in Support
	Supplem	ent No. 2 to Part 752; Instructions for Completing Form BIS-748P-A, "Item Annex"
	~ ·FF	Requests for Special Comprehensive Licenses
		ent No. 1 to Part 752; Instructions for Completing Form BIS-748P, "Multipurpose Application", for
	752.17	BIS address
	752.16	Administrative actions
	752.14	Export clearance
	752.13	System reviews
	752.12	Inspection of records
	752.11	Recordkeeping requirements
	752.10	Internal Control Programs
	752.10	Changes to the SCL
	752.9	Action on SCL applications

Prohibitions

760.2

Table of Contents vii

	760.3	Exception to prohibitions
	760.4	Evasion
	760.5	Reporting requirements
	Suppleme	ent Nos. 1-16; Interpretations
Part	762	Recordkeeping
	762.1	Scope
	762.2	Records to be retained
	762.3	Records exempt from recordkeeping requirements
	762.4	Original records required
	762.5	Reproduction of original records
	762.6	Period of retention
	762.7	Producing and inspecting records
Part	764	Enforcement and Protective Measures
	764.1	Introduction
	764.2	Violations
	764.3	Sanctions
	764.4	Reporting of violations
	764.5	Voluntary self-disclosure
	764.6	Protective administrative measures
	764.7	Activities involving items that may have been illegally exported or reexported to Libya
	764.8	Voluntary self-disclosures for boycott provisions
	Suppleme	ent No. 1 to Part 764; Standard Terms of Orders Denying Export Privileges
Part	766	Administrative Enforcement Proceedings
uit	766.1	Scope
	766.2	Definitions
	766.3	Institution of administrative enforcement proceedings
	766.4	Representation
	766.5	Filing and service of papers other than charging letter
	766.6	Answer and demand for hearing
	766.7	Default
	766.8	Summary decision
	766.9	Discovery
	766.10	Subpoenas
	766.11	Matter protected against disclosure
	766.12	Prehearing conference
	766.13	Hearings
	766.14	Interlocutory review of rulings
	766.15	Proceeding without a hearing
	766.16	Procedural stipulations; extension of time
	766.17	Decision of the administrative law judge
	766.18	Settlement
	766.19	Reopening
	766.20	Record for decision and availability of documents
	766.21	Appeals
	766.22	Review by Under Secretary
	766.23	Related persons
	766.24	Temporary denials
	766.25	Administrative action denying export privileges
		<del>-</del>

**Table of Contents** viii

Supplement No. 1 to part 766; Guidance on Charging and Penalty Determinations in Settlement of Administrative **Enforcement Cases** 

Supplement No. 2 to part 766; Guidance on Charging and Penalty Determinations in Settlement of Administrative **Enforcement Cases Involving Antiboycott Matters** 

Part	768	Foreign Availability Determination Procedures and Criteria
1 41 0	768.1	Introduction
	768.2	Foreign availability described
	768.3	Foreign availability assessment
	768.4	Initiation of an assessment
	768.5	Contents of foreign availability submissions and Technical Advisory Committee certifications
	768.6	Criteria
	768.7	Procedures
	768.8	Eligibility of expedited licensing procedures for non-controlled countries
	768.9	Appeals of negative foreign availability determinations
	768.10	Removal of controls on less sophisticated items
	Suppleme	nt No. 1 to Part 768; Evidence of Foreign Availability
	Suppleme	nt No. 2 to Part 768; Items Eligible for Expedited Licensing Procedures [RESERVED]
Part	770	Interpretations
	770.1	Introduction
	770.2	Itam interpretations

# Pa

- Interpretations related to exports of technology and software to destinations in Country Group D:1 770.3

#### Part 772 **Definitions of Terms**

772.1 Definitions of terms as used in the Export Administration Regulations (EAR)

### **Part 774** The Commerce Control List

- 774.1 Introduction
- 774.2 [RESERVED]

Supplement No. 1 to Part 774; The Commerce Control List

Category 0 - Nuclear Materials, Facilities & Equipment (and Miscellaneous Items)

Category 1 - Materials, Chemicals, "Microorganisms", and Toxins

Category 2 - Materials Processing

Category 3 - Electronics

Category 4 - Computers

Category 5 (Part 1) - Telecommunications

Category 5 (Part 2) - Information Security

Category 6 - Sensors and Lasers

Category 7 - Navigation and Avionics

Category 8 - Marine

Category 9 - Aerospace and Propulsion

Supplement No. 2 to Part 774; General Technology and Software Notes

Supplement No. 3 to Part 774; Statements of Understanding

Supplement No. 4 to Part 774; [RESERVED]

Supplement No. 5 to Part 774; Items Classified under ECCNs 0A521, 0B521, 0C521, 0D521 and 0E521